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| FORM PTO-1390 (REV 10-2000) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER DFN-1US | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C.371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/830762 | |
| INTERNATIONAL APPLICATION PCT/US99/25439 | | INTERNATIONAL FILING DATE 29 October 1999 (29.10.99) | | PRIORITY DATE CLAIMED 29 October 1998 (29.10.98) | |
| TITLE OF INVENTION LYMPHOMA ASSOCIATED MOLECULES AND USES THEREFOR | | | | | |
| APPLICANT(S) FOR DO/EO/US Margaret SHIPP; Ricardo AGUIAR; and Yoshi YAKUSHIHIN | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C.371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)). 4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C 371(c)(2)) 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted) (4 sheets) 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Item 1. to 16. below concern document(s) or information included: | | | | | |
| <ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included 13. <input type="checkbox"/> A FIRST preliminary amendment <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input type="checkbox"/> A substitute specification. 15. <input type="checkbox"/> A change of power of attorney and/or address letter. 16. <input checked="" type="checkbox"/> Other items or information: Transmittal Letter (2 sheets in duplicate); PCT International Published Application WO 00/26231 (with International Search Report) (151 sheets); PCT Notification Concerning Submission of Priority Documents (PCT/IB/304) (1 sheet); PCT Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (PCT/IB/308) (1 sheet); PCT Written Opinion (8 sheets); and PCT International Preliminary Examination Report (10 sheets); check in the amount of \$585 based on small entity status; Certificate of Express Mailing (1 sheet); and Return Postcard. | | | | | |

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| U.S. APPLICATION NO. (if known, see 37 CFR 1.53) 09/830782 | | INTERNATIONAL APPLICATION NO. PCT/US99/25439 | | ATTORNEY'S DOCKET NO. DFN-031US | |
|-------------------------------------------------------------------|--|-----------------------------------------------------|--|----------------------------------------|--|

| <p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) .(a/o November 1, 2000):</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1000</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$860</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.455(a)(2)) paid to USPTO\$710</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100</p> <p style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 20%;">RATE</th> <th style="width: 20%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>20-20 =</td> <td>0</td> <td>X \$18.00</td> <td>\$</td> </tr> <tr> <td>Independent claims</td> <td>4-3 =</td> <td>1</td> <td>X \$80.00</td> <td>\$ 80.00</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ 270.00</td> <td>\$ 270.00</td> </tr> <tr> <td colspan="4">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 1,170.00</td> </tr> <tr> <td colspan="4"><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</td> <td>\$ 585.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL =</td> <td>\$ 585.00</td> </tr> <tr> <td colspan="4">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td> <td>\$</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE =</td> <td>\$ 585.00</td> </tr> <tr> <td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +</td> <td>\$</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL FEES ENCLOSED =</td> <td>\$ 585.00</td> </tr> <tr> <td colspan="4" rowspan="2"></td> <td>Amount to be: refunded</td> <td>\$</td> </tr> <tr> <td>charged</td> <td>\$</td> </tr> </tbody></table> <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>585.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-0080</u>. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Amy E. Mandragouras, Esq. LAHIVE & COCKFIELD, LLP 28 State Street Boston, Massachusetts 02109 United States of America (617)227-7400 Date: 27 April 2001</p> <p style="text-align: right;">SIGNATURE _____ Amy E. Mandragouras NAME _____ 36,207 REGISTRATION NUMBER _____</p> | CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | Total claims | 20-20 = | 0 | X \$18.00 | \$ | Independent claims | 4-3 = | 1 | X \$80.00 | \$ 80.00 | MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + 270.00 | \$ 270.00 | TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1,170.00 | <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 585.00 | SUBTOTAL = | | | | \$ 585.00 | Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | TOTAL NATIONAL FEE = | | | | \$ 585.00 | Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ | TOTAL FEES ENCLOSED = | | | | \$ 585.00 | | | | | Amount to be: refunded | \$ | charged | \$ | CALCULATIONS PTO USE ONLY |
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| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total claims | 20-20 = | 0 | X \$18.00 | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Independent claims | 4-3 = | 1 | X \$80.00 | \$ 80.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + 270.00 | \$ 270.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1,170.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| | | | | Amount to be: refunded | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | charged | \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

**IN THE UNITED STATES PATENT DESIGNATED OFFICE (DO/US)
(National Phase of International App.: PCT/US99/25439)**

In re the
application of: **Margaret SHIPP, et al.**

International Application No.: **PCT/US99/25439**

International Filing Date: **29 October 1999**

U.S. Serial No.: **Not yet assigned**

Filed: **Herewith**

For: **LYMPHOMA ASSOCIATED MOLECULES
AND USES THEREFOR**

Attorney Docket No.: **DFN-031US**

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

Certification Under 37 CFR 1.10

I hereby certify that the attached:

Transmittal Letter (2 sheets in duplicate); PCT International Published Application WO 00/26231 (with International Search Report) (151 sheets); Declaration, Petition and Power of Attorney (unexecuted) (4 sheets); PCT Notification Concerning Submission of Priority Documents (PCT/IB/304) (1 sheet); PCT Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (PCT/IB/308) (1 sheet); PCT Written Opinion (8 sheets); PCT International Preliminary Examination Report (10 sheets); Check (\$585.00) based on small entity status; Certificate of Express Mailing (1 sheet); and Return Postcard are being deposited by me with the United States Postal Service "Express Mail Post Office to Addressee" service, Mailing Label No. **EL 373 206 012 US**, under 37 CFR 1.10 on the date indicated below and is addressed to the Box PCT, Commissioner for Patents, Washington, D.C. 20231.

Date: 27 April 2001

Name: Ilidio P. Cardoso

Signature: 